



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/998,908         | 11/30/2001          | Chi-Cheng Lee         | OBLX-01026USO          |

CONFIRMATION NO. 4166

## FORMALITIES LETTER



\*OC000000007196788\*

Burt Magen  
Vierra Magen Marcus Harmon & DeNiro, LLP  
Suite 540  
685 Market Street  
San Francisco, CA 94105-4206



COPY OF PAPERS  
ORIGINALLY FILED

Date Mailed: 12/14/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 370 to complete the basic filing fee for a small entity.*
- Total additional claim fee(s) for this application is \$543.
  - \$333 for 37 total claims over 20.
  - \$210 for 5 independent claims over 3.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 978.

*A copy of this notice MUST be returned with the reply.*

  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

03/08/2002 JADD01 00000001 09998908  
01 FC:201 370.00 OP  
02 FC:202 210.00 OP  
03 FC:203 333.00 OP  
04 FC:205 65.00 OP

Sector/A



COPY OF PAPERS  
ORIGINALLY FILED

Please type a plus sign (+) inside this box → ☒

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

|                                                                                                |                             |                                             |
|------------------------------------------------------------------------------------------------|-----------------------------|---------------------------------------------|
| <b>TRANSMITTAL<br/>FORM</b><br><i>(to be used for all correspondence after initial filing)</i> | <b>Application Number</b>   | 09/998,908                                  |
|                                                                                                | <b>Filing Date</b>          | November 30, 2001                           |
|                                                                                                | <b>First Named Inventor</b> | Chi-Cheng Lee                               |
|                                                                                                | <b>Group Art Unit</b>       | 2152                                        |
|                                                                                                | <b>Examiner Name</b>        |                                             |
| <b>Total Number of Pages in This Submission</b>                                                |                             | <b>Attorney Docket Number</b> OBLX-01026US0 |

| <b>ENCLOSURES (check all that apply)</b>                                                 |                                                                                                          |                                                                                                      |
|------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|
| <input checked="" type="checkbox"/> Fee Transmittal Form                                 | <input type="checkbox"/> Assignment Papers<br><i>(for an Application)</i>                                | <input type="checkbox"/> After Allowance Communication<br>to Group                                   |
| <input checked="" type="checkbox"/> Fee Attached                                         | <input type="checkbox"/> Drawing(s)                                                                      | <input type="checkbox"/> Appeal Communication to Board<br>of Appeals and Interferences               |
| <input type="checkbox"/> Amendment / Reply                                               | <input type="checkbox"/> Licensing-related Papers                                                        | <input type="checkbox"/> Appeal Communication to Group<br><i>(Appeal Notice, Brief, Reply Brief)</i> |
| <input type="checkbox"/> After Final                                                     | <input type="checkbox"/> Petition                                                                        | <input type="checkbox"/> Proprietary Information                                                     |
| <input type="checkbox"/> Affidavits/declaration(s)                                       | <input type="checkbox"/> Petition to Convert to a<br>Provisional Application                             | <input type="checkbox"/> Status Letter                                                               |
| <input checked="" type="checkbox"/> Extension of Time Request                            | <input checked="" type="checkbox"/> Power of Attorney, Revocation<br>Change of Correspondence<br>Address | <input checked="" type="checkbox"/> Other Enclosure(s) <i>(please<br/>identify below):</i>           |
| <input type="checkbox"/> Express Abandonment Request                                     | <input type="checkbox"/> Terminal Disclaimer                                                             | Declaration for Patent Application                                                                   |
| <input type="checkbox"/> Information Disclosure Statement                                | <input type="checkbox"/> Request for Refund                                                              | Copy of Notice to File Missing Parts<br>of Nonprovisional Application                                |
| <input type="checkbox"/> Certified Copy of Priority<br>Document(s)                       | <input type="checkbox"/> CD, Number of CD(s) _____                                                       |                                                                                                      |
| <input checked="" type="checkbox"/> Response to Missing Parts/<br>Incomplete Application | <b>Remarks</b>                                                                                           |                                                                                                      |
| <input type="checkbox"/> Response to Missing Parts<br>under 37 CFR 1.52 or 1.53          |                                                                                                          |                                                                                                      |

| <b>SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT</b> |                                                     |
|---------------------------------------------------|-----------------------------------------------------|
| Firm<br>or<br>Individual name                     | Burt Magen, Vierra Magen Marcus Harmon & DeNiro LLP |
| Signature                                         | <i>Burt Magen</i>                                   |
| Date                                              | February 21, 2002                                   |

| <b>CERTIFICATE OF MAILING</b>                                                                                                                                                                                                                                |                             |      |              |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------|------|--------------|
| I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: <u>Feb 21, 2002</u> |                             |      |              |
| Typed or printed name                                                                                                                                                                                                                                        | Burt Magen, Reg. No. 37,175 |      |              |
| Signature                                                                                                                                                                                                                                                    | <i>Burt Magen</i>           | Date | Feb 21, 2002 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



COPY OF PAPERS  
ORIGINALLY FILED

PTO/SB/17 (10-01)  
Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ ) 1,033.00

## Complete if Known

|                      |                   |
|----------------------|-------------------|
| Application Number   | 09/998,908        |
| Filing Date          | November 30, 2001 |
| First Named Inventor | Chi-Cheng Lee     |
| Examiner Name        |                   |
| Group Art Unit       | 2152              |
| Attorney Docket No.  | OBLX-01026US0     |

## METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number: 501826  
Deposit Account Name: Vierra Magen Marcus Harmon & DeNiro LLP
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
☒ Applicant claims small entity status. See 37 CFR 1.27
2. ☒ Payment Enclosed:  
☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

| 1. BASIC FILING FEE |              |          |          |                        |              |
|---------------------|--------------|----------|----------|------------------------|--------------|
| Large Entity        | Small Entity | Fee Code | Fee (\$) | Fee Description        | Fee Paid     |
| 101                 | 740          | 201      | 370      | Utility filing fee     | 370.00       |
| 106                 | 330          | 206      | 165      | Design filing fee      |              |
| 107                 | 510          | 207      | 255      | Plant filing fee       |              |
| 108                 | 740          | 208      | 370      | Reissue filing fee     |              |
| 114                 | 160          | 214      | 80       | Provisional filing fee |              |
| SUBTOTAL (1)        |              |          |          |                        | (\$ ) 370.00 |

| 2. EXTRA CLAIM FEES |    |         |    |   |                |
|---------------------|----|---------|----|---|----------------|
| Total Claims        | 57 | -20** = | 37 | X | 9.00 = 333.00  |
| Independent Claims  | 8  | -3** =  | 5  | X | 42.00 = 210.00 |
| Multiple Dependent  |    |         |    |   | = 0.00         |

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Description                                            |  |
|--------------|--------------|----------|----------|------------------------------------------------------------|--|
| 103          | 18           | 203      | 9        | Claims in excess of 20                                     |  |
| 102          | 84           | 202      | 42       | Independent claims in excess of 3                          |  |
| 104          | 280          | 204      | 140      | Multiple dependent claim, if not paid                      |  |
| 109          | 84           | 209      | 42       | ** Reissue independent claims over original patent         |  |
| 110          | 18           | 210      | 9        | ** Reissue claims in excess of 20 and over original patent |  |

SUBTOTAL (2) (\$ ) 543.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

| 3. ADDITIONAL FEES                |              |          |          |                                                                            |              |
|-----------------------------------|--------------|----------|----------|----------------------------------------------------------------------------|--------------|
| Large Entity                      | Small Entity | Fee Code | Fee (\$) | Fee Description                                                            | Fee Paid     |
| 105                               | 130          | 205      | 65       | Surcharge - late filing fee or oath                                        | 65.00        |
| 127                               | 50           | 227      | 25       | Surcharge - late provisional filing fee or cover sheet                     |              |
| 139                               | 130          | 139      | 130      | Non-English specification                                                  |              |
| 147                               | 2,520        | 147      | 2,520    | For filing a request for <i>ex parte</i> reexamination                     |              |
| 112                               | 920*         | 112      | 920*     | Requesting publication of SIR prior to Examiner action                     |              |
| 113                               | 1,840*       | 113      | 1,840*   | Requesting publication of SIR after Examiner action                        | 55.00        |
| 115                               | 110          | 215      | 55       | Extension for reply within first month                                     |              |
| 116                               | 400          | 216      | 200      | Extension for reply within second month                                    |              |
| 117                               | 920          | 217      | 460      | Extension for reply within third month                                     |              |
| 118                               | 1,440        | 218      | 720      | Extension for reply within fourth month                                    |              |
| 128                               | 1,960        | 228      | 980      | Extension for reply within fifth month                                     |              |
| 119                               | 320          | 219      | 160      | Notice of Appeal                                                           |              |
| 120                               | 320          | 220      | 160      | Filing a brief in support of an appeal                                     |              |
| 121                               | 280          | 221      | 140      | Request for oral hearing                                                   |              |
| 138                               | 1,510        | 138      | 1,510    | Petition to institute a public use proceeding                              |              |
| 140                               | 110          | 240      | 55       | Petition to revive - unavoidable                                           |              |
| 141                               | 1,280        | 241      | 640      | Petition to revive - unintentional                                         |              |
| 142                               | 1,280        | 242      | 640      | Utility issue fee (or reissue)                                             |              |
| 143                               | 460          | 243      | 230      | Design issue fee                                                           |              |
| 144                               | 620          | 244      | 310      | Plant issue fee                                                            |              |
| 122                               | 130          | 122      | 130      | Petitions to the Commissioner                                              |              |
| 123                               | 50           | 123      | 50       | Processing fee under 37 CFR 1.17(q)                                        |              |
| 126                               | 180          | 126      | 180      | Submission of Information Disclosure Stmt                                  |              |
| 581                               | 40           | 581      | 40       | Recording each patent assignment per property (times number of properties) |              |
| 146                               | 740          | 246      | 370      | Filing a submission after final rejection (37 CFR § 1.129(a))              |              |
| 149                               | 740          | 249      | 370      | For each additional invention to be examined (37 CFR § 1.129(b))           |              |
| 179                               | 740          | 279      | 370      | Request for Continued Examination (RCE)                                    |              |
| 169                               | 900          | 169      | 900      | Request for expedited examination of a design application                  |              |
| Other fee (specify) _____         |              |          |          |                                                                            |              |
| *Reduced by Basic Filing Fee Paid |              |          |          |                                                                            |              |
| SUBTOTAL (3)                      |              |          |          |                                                                            | (\$ ) 120.00 |

## SUBMITTED BY

Name (Print/Type) Burt Magen

Signature

Registration No.  
(Attorney/Agent)

37,175

## Complete (if applicable)

Telephone

415.369.9660

Date

Feb 21, 2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.